



JFW

PATENT

## THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): John Fowler, et al.

Title: METHOD AND SYSTEM FOR MONITORING COMPUTER NETWORKS AND EQUIPMENT

Application No.: 10/775,899

Filed: February 10, 2004

Examiner: Unknown

Group Art Unit: 2611

Atty. Docket No.: 1017-0014-C1

MS AMENDMENT  
COMMISSIONER FOR PATENTS  
PO Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, the undersigned brings the patents, publications, applications or other information identified in the attached:

- ☒ Form(s) PTO/SB/08A and/or PTO/SB/08B or PTO/1449  
☐ Other: n/a

to the Examiner's attention in the above-identified application. Citation of such information shall not be construed as:

1. an admission that the information necessarily is, or corresponds to, prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described below; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

For each item of information listed that is not in the English language, the undersigned has provided a concise explanation of the relevance, such as through (i) an English language abstract, (ii) an English language equivalent application, (iii) reference to discussion in the application, or (iv) if cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action that

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents on Sept. 9, 2005

Molly K. Harrison  
Typed or Printed Name

Molly K. Harrison  
Signature

indicates the degree of relevance found by the foreign office.

STATEMENT UNDER 37 C.F.R. § 1.704(d)

If the above-identified application is an original application filed on or after May 29, 2000:

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

FEES DUE


This Information Disclosure Statement is being filed:

- ☐ within three months of the filing date of a national application or within three months of entry of the national stage as set forth in § 1.491 in an international application. Therefore, no fee is required.
- ☒ before the mailing date of a first Office action on the merits or before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114. Therefore, no fee is believed required.
- ☐ during the period specified in § 1.97(c). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ during the period specified in § 1.97(c). Accordingly, the fee set forth in § 1.17(p) is required and provided as shown on the attached Fee Transmittal.
- ☐ during the period specified in § 1.97(d). Accordingly, the fee set forth in § 1.17(p) is required and provided as shown on the attached Fee Transmittal. Additionally, each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement.

Should any PTO fees be necessary for entry of this Information Disclosure Statement, the undersigned hereby authorizes the Commissioner to charge Deposit Account 50-2469.

9.9.05  
\_\_\_\_\_  
Date

Respectfully submitted,

  
\_\_\_\_\_  
John R. Schell, Reg. No. 50,776  
Agent for Applicant(s)  
TOLER, LARSON & ABEL, L.L.P.  
5000 Plaza On The Lake, Suite 265  
Austin, Texas 78746  
(512) 327-5515 (phone)  
(512) 327-5452 (fax)



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/775,899
Filing Date	February 10, 2004
First Named Inventor	John Fowler
Art Unit	2611
Examiner Name	Unknown
Attorney Docket Number	1017-0014-C1

Sheet 1 of 5

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	GA	US- 5,216,623	06-01-1993	Barrett et al.	
	GB	US- 6,681,787	01-27-2004	Tinsley et al.	
	GC	US- 6,714,977	03-30-2004	Fowler et al.	
	GD	US- 4,747,041	05-24-1988	Engel et al.	
	GE	US- 5,086,385	02-04-1992	Launey et al.	
	GF	US- 5,097,328	03-17-1992	Boyette	
	GG	US- 5,109,278	04-28-1992	Erickson et al.	
	GH	US- 5,220,522	06-15-1993	Wilson et al.	
	GI	US- 5,289,275	02-22-1994	Ishii et al.	
	GJ	US- 5,553,609	09-10-1996	Chen et al.	
	GK	US- 5,732,074	03-24-1998	Spaur et al.	
	GL	US- 5,742,762	04-21-1998	Scholl et al.	
	GM	US- 5,798,798	08-25-1998	Rector et al.	
	GN	US- 5,926,210	07-20-1999	Hackett et al.	
	GO	US- 6,078,253	06-20-2000	Fowler	
	GP	US- 6,259,956	07-10-2001	Myers et al.	
	GQ	US- 6,311,214	10-30-2001	Rhoads	
	GR	US- 6,360,255	03-19-2002	McCormack et al.	
	GS	US- 6,363,422	03-26-2002	Hunter et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	GT	EP 1 049 291 A2	11-02-2000			
	GU	EP 1 150 188 A2	10-31-2001			
	GV	EP 1 096 724 A	05-02-2001			
	GW	EP 1 009 130 A	06-14-2000			
	GX	EP 1 990 986 A	04-05-2000			
	GY	WO 01/69504 A1	09-20-2001			

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet **2**of **5****Complete if Known**

Application Number	10/775,899
Filing Date	February 10, 2004
First Named Inventor	John Fowler
Art Unit	2611
Examiner Name	Unknown
Attorney Docket Number	1017-0014-C1

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	HA	US- 6,001,065	12/14/1999	DeVito	
	HB	US- 6,052,750	04/18/2000	Lea	
	HC	US- 6,160,926	12/12/2000	Dow, et al.	
	HD	US- 6,175,866	01/16/2001	Holloway, et al.	
	HE	US- 6,271,845	08/07/2001	Richardson	
	HF	US- 4,964,065	10/16/1990	Hicks, et al.	
	HG	US- 5,262,758	11/16/1993	Nam, et al.	
	HH	US- 5,812,055	09/22/1998	Candy, et al.	
	HI	US- 4,668,939	05/26/1987	Kimura, et al.	
	HJ	US- 6,055,480	04/25/2000	Nevo, et al.	
	HK	US- 5,225,997	07/06/1993	Lederer, et al.	
	HL	US- 5,395,042	03/07/1995	Riley, et al.	
	HM	US- 4,718,025	01/05/1988	Minor, et al.	
	HN	US- 4,816,208	03/28/1989	Woods, et al.	
	HO	US- 6,088,816	07/11/2000	Nouri, et al.	
	HP	US- 5,189,394	02/23/1993	Walter, et al.	
	HQ	US- 6,282,546	08/28/2001	Gleichauf, et al.	
	HR	US- 6,229,429	05/08/2001	Horon	
	HS	US- 5,061,916	10/29/1991	French, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	HT	JP 11219388 A2	08-10-1999			
	HU					
	HV					
	HW					
	HX					
	HY					

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/775,899
Filing Date	February 10, 2004
First Named Inventor	John Fowler
Art Unit	2611
Examiner Name	Unknown
Attorney Docket Number	1017-0014-C1

Sheet 3

of 5

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	IA	US- 6,208,261	03/27/2001	Olstead	
	IB	US- 6,208,345	03/27/2001	Sheard, et al.	
	IC	US- 5,475,364	12/12/1995	Kenet	
	ID	US- 3,810,138	05/07/1974	Thompson, et al.	
	IE	US- 6,100,806	08/08/2000	Gaukel	
	IF	US- 5,892,440	04/06/1999	Bryan	
	IG	US- 4,521,645	06/04/1985	Carroll	
	IH	US- 6,148,262	11/14/2000	Fry	
	II	US- 5,367,670	11/22/1994	Ward, et al.	
	IJ	US- 6,304,900	10/16/2001	Cromer, et al.	
	IK	US- 6,182,157	01/30/2001	Schlener, et al.	
	IL	US- 5,949,974	09/07/1999	Ewing, et al.	
	IM	US- 5,822,302	10/13/1998	Landry Jr., et al.	
	IN	US- 6,094,676	07/25/2000	Nolet, et al.	
	IO	US- 5,905,867	05/18/1999	Giorgio, et al.	
	IP	US- 6,219,628	04/17/2001	Kodosky, et al.	
	IQ	US- 6,714,977	03/30/2004	Fowler, et al.	
	IR	US- 6,057,834	05-02-2000	Pickover	
	IS	US- 6,167,406	12-26-2000	Hoskins et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	IT					
	IU					
	IV					
	IW					
	IX					
	IY					

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 4

of 5

**Complete if Known**

Application Number	10/775,899
Filing Date	February 10, 2004
First Named Inventor	John Fowler
Art Unit	2611
Examiner Name	Unknown
Attorney Docket Number	1017-0014-C1

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	JA	US- 6,374,296	04-16-2002	Lim et al.	
	JB	US- 6,375,614	04-23-2002	Braun et al.	
	JC	US- 6,396,534	05-28-2002	Mahler et al.	
	JD	US- 6,402,691	06-11-2002	Peddycord et al.	
	JE	US- 5,659,470	08-19-1997	Goska et al.	
	JF	US-			
	JG	US-			
	JH	US-			
	JI	US-			
	JJ	US-			
	JK	US-			
	JL	US-			
	JM	US-			
	JN	US-			
	JO	US-			
	JP	US-			
	JQ	US-			
	JR	US-			
	JS	US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	JT					
	JU					
	JV					
	JW					
	JX					
	JY					

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/775,899

Filing Date February 10, 2004

First Named Inventor John Fowler

Art Unit 2611

Examiner Name Unknown

Sheet 5

of

5

Attorney Docket Number 1017-0014-C1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	KA	SINETICA CORP: "Newsletter, Issue One 99", Sinetica, UK, www.sinetica.co.uk, 02-1999, XP002160504, 4 pp.	
	KB	SINETICA CORP: "Netcom TH. Advanced SNMP Agent with Web Broser Support", Sinetica, UK, www.sinetica.co.uk, 04-2000, XP002160505, 2 pp.	
	KC		
	KD		
	KE		
	KF		
	KG		
	KH		
	KI		
	KJ		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.